

COMMONWEALTH OF MASSACHUSETTS

Department of Housing & Community Development

Fiscal Years 2017 – 2018
Community Services Block Grant (CSBG)

Consolidated State Plan and Application
September 1, 2016

Submitted to:

Office of Community Services
U.S. Department of Health and Human Services

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SECTION 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

- 1.1.** Provide the following information in relation to the lead agency designated to administer CSBG in the State, as required by Section 676(a) of the CSBG Act. The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.

1.1a. Lead agency:

In accordance with Section 676(a)(1) of the Community Services Block Grant Act (the CSBG Act), as amended (Pub. 105-285), the Governor of the Commonwealth of Massachusetts has designated the Executive Office of Housing and Economic Development, Department of Housing and Community Development (DHCD) as the lead administering agency of the Community Services Block Grant (CSBG) program. Chrystal Kornegay, as the Undersecretary of DHCD, is authorized to sign federal assurances and all other documents pertaining to the CSBG.

1.1b. Cabinet or administrative department of this lead agency

- ☐ Community Services Department
- ☐ Human Services Department
- ☐ Social Services Department
- ☐ Governor's Office
- ☐ Community Affairs Department
- ☒ Other, describe: **Executive Office of Housing and Economic Development**

1.1c. Division, bureau, or office of the CSBG authorized official:

DHCD is the lead administering agency of CSBG in MA and the office of the CSBG authorized official. DHCD is the principal public agency for housing and community development concerns that affect the 351 cities and towns of the Commonwealth. In this role, DHCD utilizes state and federal funds and technical assistance available to strengthen communities and help them plan new developments, encourage economic development, revitalize areas of disinvestment, improve local government management, build and manage public housing, stimulate affordable rental and homeownership through the public/private sector, and respond to the needs of low-income people. DHCD administers public housing programs, coordinates anti-poverty efforts, allocates federal community development resources, and provides a variety of services to local government officials statewide.

1.1d. Authorized official of the lead agency:

In accordance with Section 9908(a)(1) of the CSBG Act, as most recently amended (42 U.S.C. § 99011 et seq.), Chrystal Kornegay, the Undersecretary of the Massachusetts Department of Housing and Community Development, is the authorized official of DHCD, the lead agency.

1.1e. Street address: [100 Cambridge Street, Suite 300](#)

1.1f. City: [Boston](#)

1.1g. State: [MA](#)

1.1h. Zip: [02114](#)

1.1i. Telephone number and extension: [\(617\) 573 - 1100](#)

1.1j. Fax number: [\(617\) 573 - 1120](#)

1.1k. Email address: Chrystal.Kornegay@state.ma.us

1.1l. Lead agency website: www.mass.gov/dhcd

1.2. Provide the following information in relation to the designated State CSBG point of contact.

1.2a. Agency name: [Massachusetts Department of Housing and Community Development](#)

1.2b. Name of the point of contact: [Louis Martin, Associate Director](#)

1.2c. Street address: [Division of Community Services, 100 Cambridge Street, Suite 300](#)

1.2d. City: [Boston](#)

1.2e. State: [MA](#)

1.2f. Zip: [02114](#)

1.2g. Point of contact telephone number: [\(617\) 573 - 1402](#)

1.2h. Fax number: [\(617\) 573 - 1460](#)

1.2i. Point of contact email address: louis.martin@state.ma.us

1.2j. Point of contact agency website: www.mass.gov/dhcd

- 1.3. Designation Letter:** Attach the State’s official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly. [\[See attached\]](#)

SECTION 2: State Legislation and Regulation

2.1. CSBG State Legislation: Does the State have a statute authorizing CSBG? ☐ Yes ☒ No

2.2. CSBG State Regulation: Does the State have regulations for CSBG? ☒ Yes ☐ No

2.3. If yes was selected in item 2.1 or 2.2, attach a copy (or copies) of legislation and/or regulations or provide a hyperlink(s), as appropriate.

www.mass.gov/hed/economic/eohed/dhcd/legal/regs/760-cmr-29.html

2.4. State Authority: Select a response for each question about the State statute and/or regulations authorizing CSBG:

2.4a. Did the State legislature enact authorizing legislation, or amendments to an existing authorizing statute, last year? ☐ Yes ☒ No

2.4b. Did the State establish or amend regulations for CSBG last year? ☐ Yes ☒ No

2.4c. Does the State statutory or regulatory authority designate the bureau, division, or office in the State government that is to be the State administering agency?
☒ Yes ☐ No

SECTION 3: State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

DHCD's mission is to strengthen cities, towns and neighborhoods to enhance the quality of life of Massachusetts residents. To accomplish this mission, DHCD will endeavor to provide leadership, professional assistance, and financial resources to promote safe, decent affordable housing opportunities, economic vitality of communities and sound municipal management. DHCD will forge partnerships with regional and local governments, public agencies, community-based organizations, and the business community to achieve common goals and objectives. In all of these efforts, DHCD will strive to recognize and respect the diverse needs, circumstances, and characteristics of individuals and communities. DHCD is responsible for a variety of programs and services that are administered through four divisions: (Division of Community Services, Division of Public Housing and Rental Assistance, Division of Housing Development and the Division of Housing Stabilization). DHCD also oversees the Commission on Indian Affairs, the Manufactured Homes Commission, and the American and Canadian/French Cultural Exchange Commission. In addition, the following quasi-public agencies work closely with DHCD in supporting housing and community development activities: Massachusetts Housing Finance Agency; the Massachusetts Community Economic Development Assistance Corporation, and the Massachusetts Housing Partnership.

3.2. State Plan Goals: Describe the State's CSBG-specific goals for State administration of CSBG under this State Plan.

The State's primary goals for State administration under this Plan are as follows:

- 1.) Provide training and technical assistance (T/TA), including investment in the MASSCAP (State Association) Training Center, to support the network's 23 Community Action Agencies in meeting all 58 organizational standards.
- 2.) Work with the Communities of Practice Planners Workgroup coordinated by MASSCAP to implement and provide training on the proposed ROMA Next Generation across the network.
- 3.) Complete a review of the State's CSBG regulation 760 CMR 29, including consideration of comments and testimony received through a public hearing.
- 4.) Meet bi-monthly with the MASSCAP Executive Committee to discuss matters impacting the network and improve lines of communication.
- 5.) Attend CSBG related trainings and conferences, including the NASCSP's Annual and Mid-Winter Training Conferences, in order to stay informed on the most recent developments impacting our network.

3.3. State Plan Development: Indicate the information and input the State accessed to develop this State Plan.

3.3a. Analysis of

- ☐ State Performance Indicators and/or National Performance Indicators (NPIs)
 - ☐ U.S. Census Data
 - ☒ State performance management data (e.g., accountability measures, ACSI survey Information, and/or other information from annual reports)
 - ☐ Other data (describe)
 - ☒ Eligible entity community needs assessments
 - ☒ Eligible entity plans
 - ☒ Other information from eligible entities, e.g., State required reports (describe)
- [Comments and testimony provided by eligible entities at the FY 2016 2nd Year State Plan Submission public hearing]**

3.3b. Consultation with

- ☒ Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)
- ☒ State community action association and regional CSBG T & TA providers
- ☐ State partners and/or stakeholders (describe)
- ☒ National organizations (describe) **[National Association for State Community Action Programs (NASCAP)]**
- ☐ Other (describe)

3.4. Eligible Entity Involvement

3.4a. Describe the specific steps the State took in developing the State Plan to involve the eligible entities.

Throughout the year, DHCD solicits and considers the informal comments from the eligible entities, state association (MASSCAP), and Community Action Program Legal Services, Inc. (CAPLAW), through a variety of methods including periodic meetings with the DHCD administration, a series of in-person meetings and webinars hosted by DHCD comprised of representatives from the CAA network and State Association, as well as regular program monitoring. DHCD encourages the timely and meaningful participation of the eligible entities and the public in the development of the CSBG State Plan. DHCD posts a draft of its State Plan to its website and accepts written comments during the public posting period of the State Plan. Comments from the public are also received during the Public Hearing. The comments are compiled and considered by DHCD. Those comments may result in an update to the State Plan.

- 3.4b. Performance Management Adjustment:** How has the State adjusted State Plan development procedures under this State Plan, as compared to past plans, in order 1) to encourage eligible entity participation and 2) to ensure the State Plan reflects input from eligible entities? Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

In developing the FY 17-18 State Plan, DHCD met with the State Association (MASSCAP) Executive Committee, comprised of CAA Executive Directors, and reviewed the results from the ACSI survey as well as provided an electronic copy of the survey for the Association to distribute to its member agencies. Based on the results of the ACSI survey and feedback from discussions with the State Association Executive Committee, DHCD adjusted State Plan development procedures by implementing the following: 1) DHCD solicited input from the Executive Committee of our state association prior to holding the July 7, 2016 public hearings. We held 2 face-to-face meetings April 25th and June 15th, and solicited additional text input from the network regarding employment and training activities. 2) Through multiple conference calls, DHCD gathered input from the Communities of Practice Planners workgroup, coordinated by MASSCAP, on workflow timelines impacted by the State Plan. 3) In response to suggestions that an additional public hearing be held outside of the Boston metro area, and to encourage and increase eligible entity participation, DHCD held public hearings in two regions of the state (Boston and Holyoke, MA) to help make the FY 2017-2018 State Plan process more accessible to our network partners in the western part of the Commonwealth.

- 3.5. Eligible Entity Overall Satisfaction:** Provide the State's target for eligible entity Overall Satisfaction during the performance period: **[40]**

SECTION 4: CSBG Hearing Requirements

- 4.1. Public Inspection:** Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under Section 676(e)(2) of the Act.

The draft plan was posted for public inspection beginning June 23, 2016 on DHCD's website.

- 4.2. Public Notice/Hearing:** Describe how the State ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under 676(a)(2)(B) of the CSBG Act.

DHCD provided opportunity for the public to review, and/or submit written comments of the Fiscal Years 2017 – 2018 CSBG State Plan. The draft CSBG State Plan was posted on DHCD's website for public inspection on June 23, 2016. Written notification was also provided to CAAs and other appropriate entities announcing DHCD's intention to hold Public Hearings on the proposed Plan. The written notification, which was posted on DHCD's website, included the public hearing dates, times and locations. Public Hearings were convened July 7th, 2016 at DHCD, 100 Cambridge Street, 2nd Floor, Boston, MA as well as at Holyoke Community College, 303 Homestead Avenue, Holyoke, MA. Testimony and written comments received were considered in the development of the final CSBG State Plan until July 21, 2016.

- 4.3. Public and Legislative Hearings:** Specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act.

Date	Location	Type of Hearing
July 7, 2016	Department of Housing and Community Development, 100 Cambridge Street, Boston, MA	Public Hearing
July 7, 2016	Holyoke Community College, 303 Homestead Avenue, Holyoke, MA	Public Hearing
June 25, 2014	Joint Committee on Community Development and Small Business State House, Room A-2 Boston, MA	Legislative Hearing

- 4.4.** Attach supporting documentation or a hyperlink for the public and legislative hearings.

[See attached]

SECTION 5: CSBG Eligible Entities

- 5.1. CSBG Eligible Entities:** In the table below, list each eligible entity in the State, and indicate public or private, the type(s) of entity, and the geographical area served by the entity. (This table should include every CSBG Eligible Entity to which the State plans to allocate 90 percent funds, as indicated in the table in item 7.2. Do not include entities that only receive remainder/discretionary funds from the State or tribes/tribal organizations that receive direct funding from OCS under Section 677 of the CSBG Act.)

CSBG Eligible Entity	Public or Nonprofit	Type of Entity	Geographical Area served by County (Provide all counties)
Action for Boston Community Development, Inc. (ABCD)	Nonprofit	Community Action Agency (CAA)	Suffolk & Middlesex
Action, Inc. (ACTION)	Nonprofit	Community Action Agency (CAA)	Essex
Berkshire Community Action Council, Inc. (BCAC)	Nonprofit	Community Action Agency (CAA)	Berkshire
Cambridge Economic Opportunity Committee, Inc. (CEOC)	Nonprofit	Community Action Agency (CAA)	Middlesex
Citizens for Citizens, Inc. (CFC)	Nonprofit	Community Action Agency (CAA)	Bristol
Community Action Agency of Somerville, Inc. (CAAS)	Nonprofit	Community Action Agency (CAA)	Middlesex
Community Action Committee of Cape cod & Islands, Inc. (CACCI)	Nonprofit	Community Action Agency (CAA)	Barnstable & Dukes
Community Action, Inc. (CAI)	Nonprofit	Community Action Agency (CAA)	Essex
Community Action of the Franklin, Hampshire, and North Quabbin Regions, Inc. (CA)	Nonprofit	Community Action Agency (CAA)	Franklin & Hampshire
Community Action Programs Inter-City, Inc. (CAPIC)	Nonprofit	Community Action Agency (CAA)	Suffolk
Community Teamwork, Inc. (CTI)	Nonprofit	Community Action Agency (CAA)	Middlesex
Greater Lawrence Community Action Council, Inc. (GLCAC)	Nonprofit	Community Action Agency (CAA)	Essex
Lynn Economic Opportunity, Inc. (LEO)	Nonprofit	Community Action Agency (CAA)	Essex
Montachusett Opportunity Council, Inc. (MOC)	Nonprofit	Community Action Agency (CAA)	Worcester
North Shore Community Action Programs, Inc. (NSCAP)	Nonprofit	Community Action Agency (CAA)	Essex

People Acting in Community Endeavors, Inc. (PACE)	Nonprofit	Community Action Agency (CAA)	Bristol & Barnstable
Quincy Community Action Programs, Inc. (QCAP)	Nonprofit	Community Action Agency (CAA)	Norfolk
Self-Help, Inc. (SHI)	Nonprofit	Community Action Agency (CAA)	Plymouth, Norfolk & Bristol
South Middlesex Opportunity Council, Inc. (SMOC)	Nonprofit	Community Action Agency (CAA)	Middlesex & Worcester
South Shore Community Action Council, Inc. (SSCAC)	Nonprofit	Community Action Agency (CAA)	Plymouth
Springfield Partners for Community Action, Inc. (SPCA)	Nonprofit	Community Action Agency (CAA)	Hampden
Valley Opportunity Council, Inc. (VOC)	Nonprofit	Community Action Agency (CAA)	Hampden
Worcester Community Action Council, Inc. (WCAC)	Nonprofit	Community Action Agency (CAA)	Worcester

5.2. Total number of CSBG eligible entities: 23

5.3. Changes to Eligible Entities List: Has the list of eligible entities under item 5.1 changed since the State's last State Plan submission? If yes, briefly describe the changes. ☐ Yes
☒ No

SECTION 6: Organizational Standards for Eligible Entities

- 6.1. Choice of Standards:** Check the box that applies. If using alternative standards, a) attach the complete list of alternative organizational standards, b) describe the reasons for using alternative standards, and c) describe how the standards are at least as rigorous as the COE developed standards.

- ☒ The State will use the CSBG Organizational Standards Center of Excellence (COE) Organizational standards (as described in IM 138)
- ☐ The State will use an alternative set of organizational standards

- 6.2.** If the state is using the COE-developed organizational standards, does the State propose making a minor modification to the standards, as described in IM 138? ☐ Yes ☒ No

- 6.3.** How will/has the State officially adopt(ed) organizational standards for eligible entities in the State in a manner consistent with the State's administrative procedures act? If "other" is selected, provide a timeline and additional information, as necessary (check all that apply and narrative if "other" is checked)

- ☒ Regulation
- ☒ Policy
- ☒ Contracts with eligible entities
- ☐ Other

- 6.4.** How will the State assess eligible entities against organizational standards, as described in IM 138? (Check all that apply)

- ☐ Peer-to-peer review (with validation by the State or State-authorized third party)
- ☒ Self-assessment (with validation by the State or State-authorized third party)
- ☐ Self-assessment/peer review with State risk analysis
- ☐ State-authorized third party validation
- ☒ Regular onsite CSBG monitoring
- ☐ Other

- 6.4a.** Describe the assessment process

DHCD assesses and measures performance of 58 organizational standards for Community Action Agencies (CAAs) annually based on the Center of Excellence (COE) CSBG Organizational Standards State Assessment Tool for Private CSBG Eligible Entities. CAAs are assessed against the standards either as part of their triennial on-site review, which occurs once each three year period in accordance with a planned calendar, or as part of an annual Organizational Standard assessment desk review. Agencies deemed at-risk, whether it's after a triennial on-site review or annual Organizational Standard assessment desk review, receive more frequent in-depth monitoring to ensure agency health is improving.

DHCD utilizes the *Electronic Government (E.-Gov.)* database for assessing agency performance. All CAAs, whether they receive triennial monitoring or annual Organizational Standards monitoring, submit a self-assessment, supporting documentation and technical assistance plans (TAPs) to DHCD through E.-Gov. DHCD analyzes the submitted documentation and validates CAAs self-assessment responses. Validation findings are later discussed with the agency and a written report is issued. For both annual desk level assessment reviews of Organizational Standards and full onsite triennial reviews, DHCD may collaborate efforts with a 3rd Party Vendor in order to assess the overall health of a CAA. Upon completion of the assessment process, CAAs with TAPs to address provide DHCD updates on progress towards meeting those items.

- 6.5.** Will the State make exceptions in applying the organizational standards for any entities due to special circumstance or organizational characteristics, as described in IM 138?

☐ Yes ☒ No

- 6.5a.** If yes was selected in item 6.5, list the specific eligible entities the State will exempt from meeting organizational standards, and provide a description and a justification for each exemption.

- 6.6** Performance Target: What percentage of eligible entities in the State does the State expect will meet all the State-adopted organizational standards in the next year?
(Provide as a percentage) **[40%]**

SECTION 7: State Use of Funds

Eligible Entity Allocation (90 Percent Funds) [Section 675C(a) of the CSBG Act]

7.1 Formula: Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities. **[Check one]**

- ☒ Historic
- ☐ Base + Formula
- ☐ Formula Alone
- ☐ Formula with Variables
- ☐ Hold Harmless + Formula
- ☐ Other

7.1a. Does the State statutory or regulatory authority specify the terms or formula for allocating the 90 percent funds among eligible entities? ☐ Yes ☒ No

7.2. Planned allocation: Specify the planned allocation of 90 percent funds to eligible entities, as described under Section 675C(a) of the CSBG Act. The estimated allocations may be in dollars or percentages. Please complete either column 2, "Funding Amount in \$," **OR** column 3, "Funding Amount in %."

Planned CSBG 90 Percent Funds

CSBG Eligible Entity	Year One Funding Amount \$	Year One Funding Amount %	Year Two Funding Amount \$	Year Two Funding Amount %
Action for Boston Community Development, Inc. (ABCD)		41.46%		41.46%
Action, Inc. (ACTION)		1.86%		1.86%
Berkshire Community Action Council, Inc. (BCAC)		2.55%		2.55%
Cambridge Economic Opportunity Committee, Inc. (CEOC)		2.83%		2.83%
Citizens for Citizens, Inc. (CFC)		3.55%		3.55%
Community Action Agency of Somerville, Inc. (CAAS)		2.38%		2.38%
Community Action Committee of Cape cod & Islands, Inc. (CACCI)		2.32%		2.32%
Community Action, Inc. (CAI)		1.93%		1.93%
Community Action of the Franklin, Hampshire, and North Quabbin Regions, Inc. (CA)		4.16%		4.16%
Community Action Programs Inter-City, Inc. (CAPIC)		2.04%		2.04%

Community Teamwork, Inc. (CTI)		3.34%		2.34%
Greater Lawrence Community Action Council, Inc. (GLCAC)		2.25%		2.25%
Lynn Economic Opportunity, Inc. (LEO)		2.90%		2.90%
Montachusett Opportunity Council, Inc. (MOC)		2.57%		2.57%
North Shore Community Action Programs, Inc. (NSCAP)		2.21%		2.21%
People Acting in Community Endeavors, Inc. (PACE)		3.14%		3.14%
Quincy Community Action Programs, Inc. (QCAP)		1.84%		1.84%
Self-Help, Inc. (SHI)		2.99%		2.99%
South Middlesex Opportunity Council, Inc. (SMOC)		2.03%		2.03%
South Shore Community Action Council, Inc. (SSCAC)		1.84%		1.84%
Springfield Partners for Community Action, Inc. (SPCA)		3.40%		3.40%
Valley Opportunity Council, Inc. (VOC)		2.28%		2.28%
Worcester Community Action Council, Inc. (WCAC)		4.13%		4.13%
Total:		100%		100%

- 7.3. Distribution Process:** Describe the specific steps in the State’s process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about State legislative approval or other types of administrative approval (such as approval by a board or commission).

Process Overview:

DHCD shall award at least 90% of the CSBG funds allocated to the Commonwealth of Massachusetts to the 23 private, non-profit eligible entities based on a historical funding formula. After executing the standard contract for each CAA, Department advances 1/12th of the contracted amount to the CAA at the beginning of the month or, if on continuing resolution, the payment is based on availability of funds from the HHS. The Department reconciles the CAA expenditures with the advance payments on quarterly basis.

In the event the federal CSBG appropriation for FY 2017 is less than the amount received by the Commonwealth for FY 2016, DHCD shall allocate funding to eligible entities based on the distribution formula used for FY 2016, or in any other manner

consistent with the requirements of the CSBG Act. The annual funding and contracting cycle will correspond directly to the timely availability of funds from HHS.

Carryover Funds:

Community Services Block Grant funds distributed as grants to eligible entities that are not expended may be carried over into the next fiscal year by the entity for program expenditures. Each year, DHCD tracks CSBG carry-over funds through three mechanisms:

1. During the CSBG Annual Application process, carry-over funds from the previous fiscal year(s) are identified in the CSBG budget.
2. Carry-over funds are then reprogrammed into the CSBG budget and reported accordingly by eligible entities.
3. Carry-over funds are also tracked by the agencies' final fiscal reports.

Any amount of carry-over (projected and/or actual) must be included in the annual CAA CSBG Workplan and Budget as well as CSBG Quarterly Reports. Subsequent expenditures should reflect activity during the period of the current Federal FY CSBG award. DHCD updates contracts to reflect the requirement that actual expenditures, including carry-over, must be posted in accounting records according to that year's approved workplan and budget.

During the course of routine monitoring (desk and on-site reviews), DHCD will make recommendations to each CAA regarding the percentage of CSBG carry-over funds shown on the agency's books and express concern where expenditures in a given fiscal year do not reflect the Workplan and Budget for the federal fiscal year in which funds were awarded. Additionally, while a reasonable amount of carry-over may be necessary in some cases (e.g. - when final approval of the Federal budget is held up), DHCD will emphasize that timely expenditure of funds impacts funding decisions at the federal level. Finally, pursuant to the Department's Standard Contract with all eligible entities, if DHCD observes a CAA has a high percentage of funds carried over from one fiscal year beyond the succeeding fiscal year, DHCD may move to recapture and redistribute unobligated funds in excess of 20% of the current year's CSBG allocations, according to the procedures outlined in Section 675C (a)(3) of the Act.

7.4. Distribution Timeframe: Does the State plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the Federal award? ☒ Yes ☐ No

7.4a. If no, describe State procedures to ensure funds are made available to eligible entities consistently and without interruption.

7.5. Performance Management Adjustment: How is the State improving grant and/or contract administration procedures under this State Plan as compared to past plans?

Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any improvements, provide further detail.

In FY 2016 DHCD implemented substantive changes to our contracts to address the requirements of the OMB's *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (also known as the Super Circular) as well as the implementation of the Organizational Standards. After those contract changes, DHCD received feedback from the network that the changes could have been better communicated. Comments received on our 2015 ACSI Survey echoed the sentiment that DHCD could improve communication ahead of our annual contract process. To address the need for improved communication in our contract process, DHCD solicited input from the Executive Committee of our State Association (MASSCAP) regarding potential changes to the FY 2017 contract process.

Administrative Funds [675C(b)(2) of the CSBG Act]

- 7.6.** What amount of State CSBG funds does the State plan to allocate for administrative activities, under this State Plan? The estimate may be in dollars or a percentage. **[5%]**
- 7.7.** How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? **[7]**
- 7.8.** How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? **[4]**

Remainder/Discretionary Funds [Section 675C(b) of the Act]

- 7.9.** Does the State have remainder/discretionary funds? ☒ Yes ☐ No If yes was selected, describe how the State plans to use remainder/discretionary funds in the table below.

Use of Remainder/Discretionary Funds (See 675C(b)(1) of the CSBG Act)

Remainder/ Discretionary Fund Uses	Year One Planned \$	Year One Planned %	Year two Planned \$	Year One Planned %	Brief description of services/activities
a. Training/technical assistance to eligible entities	100,000	12%	100,000	12%	
b. Coordination of State-operated programs and/or local programs-					
c. Statewide coordination and communication among eligible entities	200,000	24%	200,000	24%	MASSCAP activities
d. Analysis of distribution of CSBG funds to determine if targeting greatest need					
e. Asset-building programs					
f. Innovative programs/activities by eligible entities or other neighborhood groups	530,000	64%	530,000	64%	Innovative programs operated by CAAs and other CBOs that may also provide financial and technical assistance grants to support a variety of anti-poverty and economic development activities that are innovative and replicable, that reduce poverty,

					revitalize low-income communities and/or empower low-income families and individuals in rural and urban areas to become self-sufficient, or that respond to State-identified needs.
g. State charity tax credits					
h. Other activities, specify in column 6					
Total:	830,000	100%	830,000	100%	

7.10. What types of organizations, if any, does the State plan to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9. **[Check all that apply]**

- ☒ CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) **[Through the distribution of funding to the state association training institute]**
- ☒ Other community-based organizations
- ☒ State Community Action association
- ☐ Tribes and Tribal Organizations
- ☐ Regional CSBG technical assistance provider(s)
- ☐ National technical assistance provider(s)
- ☐ Individual consultant(s)
- ☐ Other
- ☐ None (the State will carry out activities directly)

7.11. Performance Management Adjustment: How is the State adjusting the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Based on feedback received from the State's eligible entities and the State's analysis of past performance, DHCD allocated discretionary funds of \$50,000 in FY 2015 and \$100,000 in FY 2016 to provide multi-year support of the MASSCAP Training Center. Based on funding availability, additional discretionary monies will be allocated to enhance MASSCAP's capacity to provide support to 23 CAAs.

SECTION 8: State Training and Technical Assistance Plan

- 8.1.** Describe the State's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic. (CSBG funding used for this activity is referenced under item 7.9(a), Use of Remainder/Discretionary Funds.)

Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
Ongoing / Multiple Quarters	Both	Standards for eligible entities with unmet standards on TAPs and QIPs	
Ongoing / Multiple Quarters	Both	ROMA	
Ongoing / Multiple Quarters	Both	Community Assessment	
Ongoing / Multiple Quarters	Both	Strategic Planning	
Ongoing / Multiple Quarters	Both	Other	DHCD has invested in the MASSCAP Training Center to strengthen CAA capacity building. DHCD supports CAA training activities in conjunction with MASSCAP and Non-Profit vendors, which will focus on leadership and governance oversight, crisis management, back office capacity collaborations, strategic alliances, and fiscal oversight.

- 8.1a.** The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9): **[\$200,000]**

- 8.2.** Does the State have in place Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) for all eligible entities with unmet organizational standards that could be used if appropriate? ☒ Yes ☐ No

- 8.3.** Indicate the types of organizations through which the State plans to provide training and/or technical assistance as described in item 8.1, and briefly describe their

involvement? (Check all that apply.) **[Check all that apply and provide narrative where applicable]**

- ☐ CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds)
- ☐ Other community-based organizations
- ☒ State Community Action association
- ☐ Regional CSBG technical assistance provider(s)
- ☒ National technical assistance provider(s)
- ☒ Individual consultant(s)
- ☐ Tribes and Tribal Organizations
- ☐ Other

8.4. Performance Management Adjustment: How is the State adjusting the training and technical assistance plan under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Based on feedback received from the State's eligible entities and the State's analysis of past performance, DHCD sought the assistance from NASCSP in FY 2016 to provide a one day training on the OMB Super Circular to State DHCD Office staff, to enhance our Community Assessment and Strategic Planning documents, and provide a full-day workshop for the entire network on the community assessment and strategic planning process. Additionally, a DHCD staff member will become a Certified ROMA Implementer, allowing the State to provide better guidance when monitoring CAA performance under ROMA.

SECTION 9: State Linkages and Communication

- 9.1. State Linkages and Coordination at the State Level:** Describe the linkages and coordination at the State level that the State plans to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Describe or attach additional information as needed. **[Check all that apply from the list below and, if other checked, provide a Narrative]**

- ☒ State Low Income Home Energy Assistance Program (LIHEAP) office
- ☒ State Weatherization office
- ☐ State Temporary Assistance for Needy Families (TANF) office
- ☒ State Head Start office
- ☐ State public health office
- ☐ State education department
- ☒ State Workforce Innovation and Opportunity Act (WIOA) agency
- ☐ State budget office
- ☐ Supplemental Nutrition Assistance Program (SNAP)
- ☐ State child welfare office
- ☒ State housing office
- ☐ Other

- 9.2. State Linkages and Coordination at the Local Level:** Describe the linkages and coordination at the local level that the State plans to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by assurances under Sections 676(b)(5) and (b)(6)). Attach additional information as needed.

The Division of Community Services (DCS) is the conduit through which DHCD provides CSBG services to the low-income population of Massachusetts. Working in cooperation with the federal government, other state agencies, local and regional nonprofits, and the private sector, DCS is responsible for planning, implementing, and monitoring the delivery of federal and state anti-poverty efforts, activities, neighborhood economic development, homelessness prevention, fuel assistance, and weatherization programs across the Commonwealth. DCS is organized into five (5) components: the Community Services Unit (CSU), the Community Development Unit (CDU), the Office of Sustainable Communities (OSC), the Energy Conservation Unit (ECU) and the Fiscal and Compliance Unit (FCU). DCS integrates the resources of the CDU, CSU, OSC and the ECU to ensure increased access to CSBG services to low-income people and communities. DHCD supports new and innovative projects aimed at meeting the goals of DHCD, including self-sufficiency, educational outcomes, and combatting homelessness. DHCD accomplishes this through: 1. programs and funding that target populations of low to moderate-incomes and those with special needs; 2. coordinated, integrated and balanced agency responses to address the comprehensive needs and interests of communities; 3. programs and technical assistance designed to facilitate informed

decision-making at the local level, and to encourage self-sufficiency of residents and communities; and 4. sound business practices that ensure the highest standards of public accountability and responsibility.

9.3. Eligible Entity Linkages and Coordination

- 9.3a State Assurance of Eligible Entity Linkages and Coordination:** Describe how the State will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Attach additional information as needed.

State regulation 760 CMR: Section 29.07 (1) requires CAAs submit a combined community assessment report and strategic plan (formerly known to Massachusetts's CAAs as the three (3) year "Community Action Plan"). Plans include descriptions of how CAAs will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services.

- 9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps:** Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act.

State regulation 760 CMR: Section 29.07 (1) requires CAAs submit a combined community assessment report and strategic plan (formerly known to Massachusetts's CAAs as the three (3) year "Community Action Plan"). Plans include descriptions of how CAAs will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations.

- 9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities:** Does the State intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)?
☐ Yes ☒ No

- 9.4a** If the State selected "yes" under item 9.4, provide the CSBG-specific information included in the State's WIOA Combined Plan. This information includes a description of how the State and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include

examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy.

- 9.4b.** If the State selected “no” under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the State and by eligible entities providing activities through the WIOA system.

Massachusetts CSBG eligible entities coordinate efforts and link resources with employment related community partners including, but not limited to, businesses, colleges, Workforce Investment Boards, youth organizations, and one-stop career centers, to meet the immediate and long-term training and employment needs of low-income families. Through direct services (i.e. youth and adult employment, Adult Basic Education, job training, job readiness, career coaching, career preparation, financial capability integration), informal agreements, service referrals and contractual relationships, employment training program participants benefit from shared resources to access crucial occupation specific and general employment and job training opportunities. The effectiveness of employment training efforts and the retention of employment are supported by a variety of “wrap around” services offered at eligible entities including but not limited to fuel assistance, child care, Head Start, and other supports.

- 9.5. Emergency Energy Crisis Intervention:** Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the State, as required by the assurance under Section 676(b)(6) of the CSBG Act).

DHCD is the designated lead agency responsible for administering both LIHEAP and CSBG. Of the 23 eligible entities, 18 also administer LIHEAP across all 351 communities within the Commonwealth.

- 9.6. State Assurance: Faith-based Organizations, Charitable Groups, Community Organizations:** Describe how the State will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the State’s assurance under Section 676(b)(9) of the CSBG Act.

The State will assure CAAs coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, through our annual CSBG contract which requires CAAs submit a Community Action Plan (formerly known as the “workplan”) based upon a community assessment report and strategic plan. The State will also monitor CAAs on a regular basis to ensure compliance with this assurance.

- 9.7 Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:**
Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act.

State regulation 760 CMR: Section 29.07 (1) requires CAAs submit a combined community assessment report and strategic plan (formerly known to Massachusetts's CAAs as the three (3) year "Community Action Plan"). Plans include descriptions of how CAAs will coordinate CSBG funds with other public and private resources.

- 9.8. Coordination among Eligible Entities and State Community Action Association:**
Describe State activities for supporting coordination among the eligible entities and the State Community Action Association.

Throughout the year DHCD hosts in-person meetings, holds webinars, conducts conference calls, and sends listserv communications to support coordination among the CAAs and the state association. Additionally, DHCD meets with the state association (MASSCAP) periodically to discuss matters impacting the network.

- 9.9 Communication with Eligible Entities and the State Community Action Association:** In the table below, describe the State's plan for communicating with eligible entities, the State Community Action Association, and other partners under this State Plan. Include communication about annual hearings and legislative hearings, as described under Section 4, CSBG Hearing Requirements.

Topic	Expected Frequency	Format	Brief Description of "Other"
Various Topics	Other	Other	Listserv notices sent on an as needed basis
State Plan Legislative Hearing	Other	As required by state law	Every three years
State Plan Public Hearing	Other	As required by state law	Every two years (unless otherwise required)
Meetings with MASSCAP Executive Committee on various network matters	Other	Meeting/Presentation	Bi-monthly
Communication with Communities of Practice - Planners Workgroup on various network matters	Other	Other	Meetings, conference calls, webinars attended on an as needed basis

- 9.10. Feedback to Eligible Entities and State Community Action Association:** Describe how the State will provide feedback to local entities and State Community Action Associations regarding performance on State Accountability Measures.

Within 60 days of notification from the Office of Community Services regarding feedback from the Massachusetts CAAs and MASSCAP, the State will issue a report to the local eligible entities and State Association, and will follow up with the eligible entities and State Association through communication about the feedback.

- 9.11. Performance Management Adjustment:** How is the State adjusting the Communication Plan in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Based on feedback received from the State's eligible entities and the State's analysis of past performance, DHCD intends to meet with the state association (MASSCAP) periodically to discuss matters impacting the network. Additionally, DHCD intends to communicate more frequently with CAAs and the state association as compared to past plans. Communication will occur through a variety of means (listservs, conference calls, in-person meetings, and webinars) either with the network directly or through the Communities of Practice Planners Workgroup coordinated by MASSCAP.

SECTION 10: Monitoring, Corrective Action, and Fiscal Controls

Monitoring of Eligible Entities (Section 678B(a) of the Act)

- 10.1.** Specify the proposed schedule for planned monitoring visits, including full on-site reviews; on-site reviews of newly designated entities; follow-up reviews, including return visits to entities that failed to meet State goals, standards, and requirements; and other reviews as appropriate.

This is an estimated schedule to assist States in planning. States may indicate “no review” for entities the State does not plan to monitor in the performance period.

For States that have a monitoring approach that does not fit within the table parameters, attach the State’s proposed monitoring schedule.

Note: This information is associated with State Accountability Measure 4Sa(i); this response may pre-populate the State’s annual report form. [\[See attached\]](#)

- 10.2. Monitoring Policies:** Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink. [\[See attached\]](#)
- 10.3. Initial Monitoring Reports:** According to the State’s procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities? [\[60\]](#)
- 10.4. Closing Findings:** Are State procedures for addressing eligible entity deficiencies and documenting closure of findings included in the State monitoring protocols attached above? ☐ Yes ☒ No

- 10.4a.** If no, describe State procedures for addressing eligible entity findings/deficiencies, and the documenting of closure of findings.

DHCD documents findings/deficiencies through the State’s web-based system (*E.Gov*) which allows eligible entities to create Technical Assistance Plans (TAPs). DHCD is working with our *E.Gov* vendor to implement functionality to electronically track closure of TAPs. In lieu of the new functionality, DHCD will conduct check-ins with eligible entities that have TAPs at 6 and 12 months.

- 10.5. Quality Improvement Plans (QIPs):** How many eligible entities are currently on Quality Improvement Plans? [\[0\]](#)

- 10.6. Reporting of QIPs:** Describe the State's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP?

In the event that an eligible entity submits a proposed Quality Improvement Plan (QIP) and DHCD has approved the plan, DHCD will notify the Office of Community Services (OCS) within 30 calendar days of State approval, pursuant to section 678C (a)(4), 42 U.S.C. § 9915(a)(4).

- 10.7. Assurance on Funding Reduction or Termination:** Does the State assure, according to Section 676(b)(8), that "any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)." ? ☒ Yes ☐ No

Policies on Eligible Entity Designation, De-designation, and Re-designation

- 10.8.** Does the State CSBG statute or regulations provide for the designation of new eligible entities? ☒ Yes ☐ No

- 10.8a.** If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for the designation of new eligible entities.

760 CMR 29.04 (Code of Massachusetts Regulations)

- 10.9.** Does the State CSBG statute and/or regulations provide for de-designation of eligible entities? ☒ Yes ☐ No

- 10.9a.** If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for de-designation of new eligible entities.

760 CMR 29.05 (Code of Massachusetts Regulations)

- 10.10.** Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity? ☒ Yes ☐ No

- 10.10a.** If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities.

760 CMR 29.04 (Code of Massachusetts Regulations)

Fiscal Controls and Audits and Cooperation Assurance:

- 10.11. Fiscal Controls and Accounting:** Describe how the State's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).

Expenditures are tracked separately by each appropriation in Massachusetts Management Accounting and reporting System (MMARS). Payment Request Forms are prepared by the accountant and approved by the Finance Director.

- 10.12. Single Audit Management Decisions:** Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. Response: OMB A-133, agencies expending more than \$500,000 in federal funds in a fiscal year must have a financial audit performed annually by an independent auditor, or in the case of a governmental entity, an independent auditor or the county auditor-controller.

DHCD will comply with the federal mandate pursuant to § 200.501(d) of the OMB Super Circular. DHCD will be responsible for issuing a management decision within six months of acceptance of the audit report by the Federal Audit Clearinghouse. The CAA must initiate and proceed with corrective action as rapidly as possible and corrective action should begin no later than upon receipt of the audit report.

- 10.13. Assurance on Federal Investigations:** Will the State "permit and cooperate with Federal investigations undertaken in accordance with Section 678D" of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act? ? ☒ Yes ☐ No

- 10.14. Performance Management Adjustment:** How is the State adjusting monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

DHCD adopted a new monitoring approach in FY 2016 which eliminated inclusion of a Best Practice review in order to accommodate monitoring of the Organizational Standards. Additionally in FY 2016, DHCD worked to streamline monitoring tools, questions, and processes to allow for more clear identification of compliance issues that threaten CAAs' long-term wellbeing.

SECTION 11: Eligible Entity Tripartite Board:

- 11.1.** Which of the following measures are taken to ensure that the State verifies CSBG eligible Entities are meeting Tripartite Board requirements under Section 676B of the CSBG Act? [Check all that apply]

- ☒ Attend Board meetings
- ☒ Review copies of the board meeting minutes
- ☒ Keep a register of Board vacancies/composition
- ☒ Other [Through the monitoring assessment process; both through the organizational standards & triennial assessment reviews]

- 11.2.** How often does the State require eligible entities (which are not on TAPs or QIPs) to provide updates (e.g., copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.) regarding their Tripartite Boards? [Check all that apply]

- ☐ Annually (submitted with contract)
- ☐ Semiannually
- ☐ Quarterly
- ☒ Monthly
- ☒ Other [As needed per topic]

- 11.3. Assurance on Eligible Entity Tripartite Board Representation:** Describe how the State will carry out the assurance under Section 676(b)(10) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities' Tripartite Board.

State regulation 760 CMR: Section 29.06 (4) requires the by-laws of a CAA or other eligible entity to include a description of procedures for selecting new board members in case of a vacancy on the board. The annual CSBG contracts that DHCD executes with the State's CAAs also require the CAAs to assure compliance with the CSBG Act and all applicable federal requirements. Additionally, during triennial monitoring of each CAA, the State monitors whether the agency has a policy allowing low income individuals or groups to petition for representation of the agency's Board through a pre-assessment questionnaire.

- 11.4** Does the State permit public entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the State to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act?
- ☐ Yes ☒ No

- 11.4a.** If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.

SECTION 12: Individual and Community Income Eligibility Requirements

12.1. **Required Income Eligibility:** What is the income eligibility threshold for services in the State? **[Check one item below.]**

- ☒ 125% of the HHS poverty line
- ☐ X % of the HHS poverty line (fill in the threshold):
- ☐ Varies by eligible entity

12.1a. Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition.

The State includes reviews of client income eligibility determination in our triennial monitoring process.

12.2. **Income Eligibility for General/Short Term Services:** For services with limited in-take procedures (where individual income verification is not possible or practical), how does the State ensure eligible entities generally verify income eligibility for services? An example of these services is emergency food assistance.

The State includes reviews of client income eligibility determination in our triennial monitoring process.

12.3. **Community-targeted Services:** For services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations), how does the State ensure eligible entities' services target and benefit low-income communities?

The State draws upon information provided by CAAs in their community assessment report and strategic plan as well as their annual Community Action Plan (formerly known as the "workplan") to ensure services that provide a community-wide benefit are targeted to low-income communities. The strategic plan and subsequent Community Action Plan provide a logical description of a CAAs reason for providing a given service in a given community, supported by data from a community assessment.

SECTION 13: Results Oriented Management and Accountability (ROMA) System

13.1. ROMA Participation: In which performance measurement system will the State and all eligible entities participate, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act? **[Check one]**

☒ The Results Oriented Management and Accountability (ROMA) System

☐ Another performance management system that meets the requirements of section 678E(b) of the CSBG Act

☐ An alternative system for measuring performance and results

13.1a. If ROMA was selected in item 13.1, attach and/or describe the State's written policies, procedures, or guidance documents on ROMA.

The requirement to "implement the Result Oriented Management Accountability (ROMA) approach to program management" is included in our annual CSBG contract. To support implementation of the ROMA approach, the State provides CAAs a detailed planning guide for completing a community assessment report and strategic plan. The planning guide gives an overview of the ROMA approach in the context of a community assessment and strategic plan and highlights Organizational Standards wedded to ROMA. Written guidance, including information on National Performance Indicators and demographic data, is also provided to support CAAs in completing their annual Community Action Plans (also known as "workplans") and CSBG Information System (IS) Survey.

13.1b. If ROMA was not selected in item 13.1, describe the system the State will use for performance measurement.

13.2. Indicate and describe the outcome measures the State will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act? **[Check one and provide Narrative]**

☒ CSBG National Performance Indicators (NPIs)

☐ NPIs and others

☐ Others

The State uses the National Performance Indicators to measure CAAs performance in meeting the requirements under Section 676(b)(12) of the CSBG Act.

13.3. How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)?

The State supports CAAs in using the ROMA system through multiple means. First, the State provides written guidance and subsequent feedback on key ROMA system documents including community assessment reports, strategic plans, and Community Action Plans, and IS Surveys. The State also coordinates periodic trainings to supplement written guidance. Additionally, to help ensure CAA staff and Boards are knowledgeable in ROMA, DHCD allocates discretionary funds to the State Association (MASSCAP) to coordinate ROMA training efforts, including support for staff completing the ROMA Certified Trainer process. Finally, to underscore DHCD's commitment to ensuring our network effectively uses ROMA and is adequately prepared for ROMA Next Generation, DHCD committed funding for a network-wide training event that will be coordinated in partnership with MASSCAP that will afford the State's CAAs the opportunity to have at least one ROMA Certified Implementer at each CAA, as well as a ROMA Certified Implementer at the State CSBG office.

13.4. Eligible Entity Use of Data: How is the State validating that the eligible entities are using data to improve service delivery?

State regulation 760 CMR: Section 29.07 (2) requires CAAs submit a Community Action Plan (formerly known as the "workplan") to the State with program objectives and activities the CAA plans to accomplish during its CSBG program year. The plans are submitted through the State's Electronic-Government web-based system (*E.Gov*) and CAAs must identify National Performance Indicators as well as the anticipated outcome tied to each planned activity. The State requires CAAs also submit six month and final reports on progress in meeting expected outcomes. Final progress report information is later used to feed the CAA's IS Survey submission. At all reporting points the State reviews CAA's actual performance compared to what was anticipated.

Community Action Plans and Needs Assessments

13.5. Describe how the State will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act.

State regulation 760 CMR: Section 29.07 (2) requires CAAs submit a Community Action Plan (formerly known as the "workplan") to the State that includes programmatic and fiscal objectives the CAA plans to accomplish during its CSBG program year. The plan, which is submitted through the State's web-based system (*E.Gov*), must be reviewed and approved by the State prior to executing a CAA's annual CSBG funding contract.

- 13.6. State Assurance:** Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by Section 676(b)(11) of the CSBG Act.

State regulation 760 CMR: Section 29.07 (1) requires CAAs submit a combined community assessment report and strategic plan (formerly known to Massachusetts's CAAs as the three (3) year "Community Action Plan"). As part of the State's annual contract process, CAA's must also submit a Community Action Plan (formerly known as the "workplan") which is based upon their community assessment report and strategic plan.

SECTION 14: CSBG Programmatic Assurances and Information Narrative

(Section 676(b) of the CSBG Act)

14.1 Use of Funds Supporting Local Activities

CSBG Services

14.1a. 676(b)(1)(A): Describe how the State will assure “that funds made available through grant or allotment will be used –

(A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals—

- (i) to remove obstacles and solve problems that block the achievement of self-sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
- (ii) to secure and retain meaningful employment;
- (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
- (iv) to make better use of available income;
- (v) to obtain and maintain adequate housing and a suitable living environment;
- (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
- (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to –
 - (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
 - (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

The State will assure CSBG funding is used to support activities consistent with the purposes listed above through DHCD’s annual CSBG contracts with the State’s CAAs, which require the CAAs to assure that CSBG funding will be used in compliance with the CSBG Act and to submit a Community Action Plan (formerly known as the “workplan”) based upon a community assessment report and strategic plan. The State will also monitor CAAs to ensure compliance with this assurance.

Needs of Youth

- 14.1b. 676(b)(1)(B)** Describe how the State will assure “that funds made available through grant or allotment will be used –

(B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--

- (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
- (ii) after-school child care programs;

The State will assure CSBG funding is used to support activities consistent with the purposes listed above through DHCD’s annual CSBG contracts with the State’s CAAs, which require the CAAs to assure that CSBG funding will be used in compliance with the CSBG Act and to submit a Community Action Plan (formerly known as the “workplan”) based upon a community assessment report and strategic plan. The State will also monitor CAAs on a regular basis to ensure compliance with this assurance.

Coordination of Other Programs

- 14.1c. 676(b)(1)(C)** Describe how the State will assure “that funds made available through grant or allotment will be used –

(C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts)

The State will assure CSBG funding is used to support activities consistent with the purposes listed above through DHCD’s annual CSBG contracts with the State’s CAAs, which require the CAAs to assure that CSBG funding will be used in compliance with the CSBG Act and to submit a Community Action Plan (formerly known as the “workplan”) based upon a community assessment report and strategic plan. The State will also monitor CAAs on a regular basis to ensure compliance with this assurance.

State Use of Discretionary Funds

- 14.2 676(b)(2)** Describe “how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance

with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle.”

Note: the State describes this assurance under “State Use of Funds: Remainder/Discretionary,” items 7.9 and 7.10.

[No response; links to items 7.9 and 7.10.]

Eligible Entity Service Delivery, Coordination, and Innovation

14.3. 676(b)(3) “Based on information provided by eligible entities in the State, a description of...”

14.3a. 676(b)(3)(A) Describe “the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;

State regulation 760 CMR: Section 29.07 (1) requires CAAs submit a combined community assessment report and strategic plan (formerly known to Massachusetts’s CAAs as the three (3) year “Community Action Plan”). Each plan includes a description of the service delivery system targeted to low-income families.

Eligible Entity Linkages – Approach to Filling Service Gaps

14.3b. 676(b)(3)(B) Describe “how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and follow up consultations.”

Note: the State describes this assurance in the State Linkages and Communication section, item 9.3b.

[No response; links to 9.3b]

Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources

14.3c. 676(b)(3)(C) Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources.”

Note: the State describes this assurance in the State Linkages and Communication section, item 9.7.

[No response; links to 9.7]

Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility

- 14.3d. 676(b)(3)(D)** Describe “how the local entity will use the funds [made available under 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting.”

State regulation 760 CMR: Section 29.07 (1) requires CAAs submit a combined community assessment report and strategic plan (formerly known to Massachusetts’s CAAs as the three (3) year “Community Action Plan”). Plans include descriptions of how CAAs use the funds to support innovative community and neighborhood-based initiatives related to the purpose of the CSBG, which may include fatherhood initiatives and other initiatives with the goal of encouraging parenting.

Eligible Entity Emergency Food and Nutrition Services

- 14.4. 676(b)(4)** Describe how the State will assure “that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.”

The State will assure CSBG funding is used to support activities consistent with the purposes listed above through DHCD’s annual CSBG contracts with the State’s CAAs, which require the CAAs to assure that CSBG funding will be used in compliance with the CSBG Act and to submit a Community Action Plan (formerly known as the “workplan”) based upon a community assessment report and strategic plan. The State will also monitor CAAs to ensure compliance with this assurance.

State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities

- 14.5. 676(b)(5)** Describe how the State will assure “that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act.”

Note: The State describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.

[No response; links to items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b]

State Coordination/Linkages and Low-income Home Energy Assistance

- 14.6. 676(b)(6)** Provide “an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such community.”

Note: The State describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.

[\[No response; links to 9.2 and 9.5\]](#)

Federal Investigations

- 14.7. 676(b)(7)** Provide “an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D.”

Note: the State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.

[\[No response; links to 10.13\]](#)

Funding Reduction or Termination

- 14.8. 676(b)(8)** Provide “an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b).”

Note: the State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.

[\[No response; links to 10.7\]](#)

Coordination with Faith-based Organizations, Charitable Groups, Community Organizations

- 14.9. 676(b)(9)** Describe how the State will assure “that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations.”

Note: the State describes this assurance in the State Linkages and Communication section, item 9.6.

[\[No response; links to 9.6\]](#)

Eligible Entity Tripartite Board Representation

- 14.10. 676(b)(10)** Describe how “the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation.”

Note: the State describes this assurance in the Eligible Entity Tripartite Board section, 11.3

[\[No response; links to item 11.3\]](#)

Eligible Entity Community Action Plans and Community Needs Assessments

- 14.11. 676(b)(11)** Provide “an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs.”

Note: The State describes this assurance in the ROMA section, items 13.5 and 13.6.

[\[No response; links to items 13.5 and 13.6\]](#)

State and Eligible Entity Performance Measurement: ROMA or Alternate system

- 14.12. 676(b)(12)** Provide “an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization.”

Note: The State describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.

[\[No response; links to 13.1, 13.2, 13.3, and 13.4\]](#)

Validation for CSBG Eligible Entity Programmatic Narrative Sections

14.13. 676(b)(13) Provide “information describing how the State will carry out the assurances described in this section.”

***Note:** The State provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan, which are included as hyperlinks in section 14.*

☒ **By checking this box, the State CSBG authorized official is certifying the assurances set out above.**

SECTION 15: Federal Certifications

The box after each certification must be checked by the State CSBG authorized official.

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report

Lobbying,” in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

☒ **By checking this box, the State CSBG authorized official is providing the certification set out above.**

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645 (a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

- (1) By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For grantees other than individuals, Alternate I applies.
- (4) For grantees who are individuals, Alternate II applies.
- (5) Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee’s drug-free workplace requirements.
- (6) Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway

department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).

(7) If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).

(8) Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about - -
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;

- (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

☒ **By checking this box, the State CSBG authorized official is providing the certification set out above.**

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - - Primary Covered Transactions (Instructions for Certification)

- (1) By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
- (2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- (3) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (4) The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
- (7) The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

***Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -
(Primary Covered Transactions)***

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions (Instructions for Certification)

- (1) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- (2) The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- (3) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
- (4) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions

and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

- (5) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- (6) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (7) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (8) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (9) Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier (Covered Transactions)

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment,

declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

☒ **By checking this box, the State CSBG authorized official is providing the certification set out above.**

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

☒ **By checking this box, the State CSBG authorized official is providing the certification set out above.**